PTO/SB/81 (09-03)

Approved for use through 11/30/2005. OMB 0651-0035

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## **POWER OF ATTORNEY** and **CORRESPONDENCE ADDRESS** INDICATION FORM

Application Number		10/646,948
Filing Date		August 21, 2003
First Named Inventor		Krisztina M. ZSEBO
Title	METHOD OF GENERATING AN IMMUNE RESPONSE AND COMPOSITIONS USED FOR SAME	
Art Unit		1614
Examiner Name		Not Yet Assigned
Attorney Docket No.		220002064500

I hereby appoint:			·		
x Practitioners associated with the Customer Number 25226  OR					
Practitioner(s) named below:		•			
Name	Registration Number	Name	Registration Number		
1					
as my/our attorney(s) or agent(s) to pro States Patent and Trademark Office co		tion identified above, and to transact a	all business in the United		
Please recognize or change the co	orrespondence a	ddress for the above-identified app	olication to:		
The address associated with t	•				
OR					
The address associated with Customer Number:					
OR Customer Number.					
Firm or					
Individual Name					
Address					
City	State	Zi	<u>. T</u>		
Country	Telephone	Fa			
I am the:	<del></del>	. <del>-   </del>	·		
Applicant/Inventor.					
	x Assignee of record of the entire interest. See 37 CFR 3.71.				
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).					
SIGNATURE of Applicant or Assignee of Record					
Name Linda S. Stevenson					
Signature Sunda & Au Date 9/1/04	tevensi	Telephone (5/0)	587-6000		
NOTE: Signatures of all the inventors or assigne	ees of record of the				
forms if more than one signature is required, se					
X *Total of 1 form	ns are submitted.				

PTO/SB/96 (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Krisztina	M. ZSEBO et al.		
Application No./Patent No.:	0/646,948	Filed/Issue Date:	August 21, 2003
METHOD OF GENERAT SAME	ING AN IMMUNE	RESPONSE AND COMP	POSITIONS USED FOR
The Regents of The University of (Name of Assignee)	California , a	COI ope of Assignee, e.g., corporation, pa	poration artnership, university, government agency, etc.)
states that it is:			
1.  x the assignee of the entire	ight, title, and inte	rest; or	
2. an assignee of less than the The extent (by percentage in the patent application/patent identii	of its ownership i	nterest is %	
A. [x] An assignment from the inverse was recorded in the United S Frame ,	ntor(s) of the pate States Patent and or for which a co	nt application/patent iden Trademark Office at Reel py thereof is attached.	
		To: d States Patent and Trade , or for which a co	
2. From:	, i iaine	, or lor writer a co-	py thereof is attached.
The document was rec		d States Patent and Trade , or for which a co	
		d States Patent and Trade , or for which a co	
[ ] Additional documents in	the chain of title a	re listed on a supplement	al sheet.
[ ] Copies of assignments or ot [NOTE: A separate copy (i.e document) must be submitted assignment is to be recorded.	e., the original assi d to Assignment D	gnment document or a tri Division in accordance wit	ue copy of the original h 37 CFR Part 3, if the
The undersigned (whose title is supp	ied below) is autho	orized to act on behalf of	the assignee.
9/1/04			Stevenson
Date (510) 587-6000 Telephone Number		Luda	Stevenson
текрионе мание		Manager, Pat	rature lent Prosecution Title

09/02/04 THU 17:41 FAX 650 494 0792

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**2**002

PATENT Docket No. 220002064500

#### ASSIGNMENT



UC Case No.: 2003-512-1

and which is found in

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S), 2222 Aprel 1 - 1 - 1 2223 Avenidade la Playa, etc. 300, toutolly C1 92087

- Krisztine M. ZSEBO, 296 Santa Cruz Bouleverd.
- Roymarie BALLESTER, 220 B. Alamar Avenue, Santa Barbara, California 93105
- Gary SCHOOLNIK, 2530 Green Road, Palo Alto, California 94303
- Steven M. JULIO, 1121-1/2 Bath Street, Santa Barbara, California 93101
- Andrew F. GIUSTI, 7262 Calle Real, Goleta, California 93117

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

METHOD OF GENERATING AN IMMUNE RESPONSE AND COMPOSITIONS USED FOR SAME

(a)	U.S. provisional application filed herewith and listing the above named persons as inventors
(b)	U.S. patent application filed herewith and listing the above named persons as inventors
(c)	
<b>(</b> d)	U.S. Patent No.: issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obmined for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will prompfly execute and deliver to ASSIGNRE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invantion and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNER, The Regents of the University of California.

09/02/04 THU 17:42 PAX 650 494 0792

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**2**003

PATENT Docket No. 220002064500

executed this	Signature of Inventor(s)
21 day of July 2004	Krisatina M. ZSEBO
day of, 2004	Roymaric BALLESTER
day of, 2004	Gary SCHOOLNIK
day of, 2004	Steven M. JULIO
day of, 2004	Andrew F GNISTI

#### ASSIGNMENT

UC Case No.: 2003-512-1



For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- 1. Krisztina M. ZSEBO, 226 Santa Cruz Boulevard, Santa Barbara, California 93109
- 2. Roymarie BALLESTER, 220 E. Alamar Avenue, Santa Barbara, California 93105
- 3. Gary SCHOOLNIK, 2530 Greer Road, Palo Alto, California 94303
- 4. Steven M. JULIO, 1121-1/2 Bath Street, Santa Barbara, California 93101
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(b)	U.S. patent application filed herewith and listing the above named persons as inventors
(c)	X U.S. application serial no. 10/646,948 filed August 21, 2003
(d)	U.S. Patent No.: , issued

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executed this		Signature of Inventor(s)
day of	, 2004	
6 day of Yuu	, 2004	Roymarie BALLESTER  Krisetina M. ZSEBO  Roymarie BALLESTER
day of	, 2004	Gary SCHOOLNIK
day of	, 2004	Steven M. JULIO
day of	, 2004	Androw E CHISTI

#### ASSIGNMENT

UC Case No.: 2003-512-1



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# PATENT Docket No. 220002064500

executed tills		Signature of Inventor(s)
day of	, 2004	
	<u> </u>	Krisztina M. ZSEBO
day of	, 2004	
		Roymarie BALLESTER
10 day of Nune	, 2004	a Schoolink
	· · · · · · · · · · · · · · · · · · ·	Gary SCHOOLNIK
day of	, 2004	$\circ$
		Steven M. JULIO
day of	, 2004	•
	<del></del>	Andrew E. GILICTI

### ASSIGNMENT

UC Case No.: 2003-512-1



For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- 1. Krisztina M. ZSEBO, 226 Santa Cruz Boulevard, Santa Barbara, California 93109
- Roymarie BALLESTER, 220 E. Alamar Avenue, Santa Barbara, California 93105
- 3. Gary SCHOOLNIK, 2530 Greer Road, Palo Alto, California 94303

4. Steven M. JULIO, 1421-1/2 Bath Street, Santa Barbara, California 93101 5212 Calle Cristobal, Santa Barbara, CA 93111

5. Andrew F. GIUSTI, 7262 Calle Real, Goleta, California 93117

8/35/04

8/35/04

8/35/04

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and win	ich is found in		
(a)	U.S	S. provisional application filed herewith and lis	ting the above named persons as inventors
(b)	U.	S. patent application filed herewith and listing t	he above named persons as inventors
(c)	XU.	.S. application serial no. 10/646,948 filed Augus	st 21, 2003
(d)	U.S	S. Patent No.:	, issued

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# PATENT Docket No. 220002064500

executed this		Signature of Inventor(s)
day of,	2004	Krisztina M. ZSEBO
day of,	2004	Roymarie BALLESTER
day of,	2004	Gary SCHOQLNIK,
30th day of Avgist,	2004	Steven M. JULYO
day of, 2	2004	Andrew F. GILISTI

### **ASSIGNMENT**

UC Case No.: 2003-512-1

and which is found in



For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- 1. Krisztina M. ZSEBO, 226 Santa Cruz Boulevard, Santa Barbara, California 93109
- 2. Roymarie BALLESTER, 220 E. Alamar Avenue, Santa Barbara, California 93105
- 3. Gary SCHOOLNIK, 2530 Greer Road, Palo Alto, California 94303
- 4. Steven M. JULIO, 1121-1/2 Bath Street, Santa Barbara, California 93101
- 5. Andrew F. GIUSTI, 7262 Calle Real, Goleta, California 93117 AG 628-09
  5656 Arbor Grove Court San Viego, CA 92121

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# PATENT Docket No. 220002064500

executed this		Signature of Inventor(s)
day of	, 2004	Krisztina M. ZSEBO
day of	, 2004	Roymarie BALLESTER
day of	, 2004	Gary SCHOOLNIK
day of	, 2004	Steven M. JULIO
28 day of June	, 2004	Andrew F. GIUSTI



PATENT Docket No. 220002064500 Client Ref. 2003-512-1

## DECLARATION FOR UTILITY PATENT APPLICATION

# AS BELOW-NAMED INVENTORS, WE HEREBY DECLARE THAT:

Our residences, post office addresses, and citizenship are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHOD OF GENERATING AN IMMUNE RESPONSE AND COMPOSITIONS USED FOR SAME, the specification of which is attached hereto unless the following box is checked:

was filed on August 21, 2003 as United States Application Serial No. 10/646,948.

WE HEREBY STATE THAT WE HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

We acknowledge the duty to disclose information which is material to the patentability as defined in  $37 \text{ C.F.R.} \S 1.56$ .

We hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing	Priority C	laimed?
·			□Yes	□N₀

We hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/405,603	August 21, 2002

Application Serial No.	Filing Date	Status		
		□Patented	□Pending	☐ Abandoned

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

7/20/04

lame: Kylsztina M. ZSEBO

Residence: Santa Barbera, California Citizenship: United States of America

Post Office Address: 226 Santa Gruz Boulsverd, Santa Berbara, Galifornia 93109.

2223 Avenda de la Plago. Sucta 300

La Jolla sonouso, ca gante 92037

Date

Name:

Roymarie BALLESTER

Residence: Citizenship: Santa Barbara, California United States of America

Post Office Address: 220 E. Alamar Avenue, Santa Barbara, California 93105

Date

Name: Residence: Gary SCHOOLNIK

Citizenship:

Palo Alto, California
United States of America

Post Office Address: 2530 Greet Road, Palo Alto, California 94303

Date

Name:

Steven M. JULIO

Residence:

Santa Barbara, California

Citizenship:

United States of America

Post Office Address: 1121-1, Bath Street, Santa Barbara, California 93101

Date

Name:

Andrew F. GIUSTI

Residence:

Goleta, California

Citizenship:

United States of America

Post Office Address: 7262 Calle Real, Golota, California 93117

PATENT Docket No. 220002064500 Client Ref. 2003-512-1



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Date	Name:	Krisztina M. ZSEBO
Date	Residence:	Santa Barbara, California
	Citizenship:	United States of America
	-	ress: 226 Santa Cruz Boulevard, Santa Barbara, California 93109
		O
6/14/04	Kayno	ane 10 allables
Date	Name: V	Roymarie BALLESTER
	Residence:	Santa Barbara, California
	Citizenship:	United States of America
	Post Office Add	ress: 220 E. Alamar Avenue, Santa Barbara, California 93105
•	Name:	Gary SCHOOLNIK
Date	Residence:	Palo Alto, California
	Citizenship:	United States of America
	Post Office Add	ress: 2530 Greer Road, Palo Alto, California 94303
		·
	-	
	Name:	Steven M. JULIO
Date	Residence:	Santa Barbara, California
	Citizenship:	United States of America
	Post Office Add	ress: 1121-1/2 Bath Street, Santa Barbara, California 93101
_	Name:	Andrew F. GIUSTI
Date	Residence:	Goleta, California
	Citizenship:	United States of America
	Post Office Add	ress: 7262 Calle Real, Goleta, California 93117



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Date

Name:

Krisztina M. ZSEBO

Residence: Citizenship: Santa Barbara, California United States of America

Post Office Address: 226 Santa Cruz Boulevard, Santa Barbara, California 93109

Date

Name:

Roymarie BALLESTER

Residence:

Santa Barbara, California

Citizenship:

United States of America

Post Office Address: 220 E. Alamar Avenue, Santa Barbara, California 93105

Name:

Residence:

Palo Alto, California

Citizenship:

United States of America

Post Office Address: 2530 Greer Road, Palo Alto, California 94303

Date

Name:

Steven M. JULIO

Residence:

Santa Barbara, California

Citizenship:

United States of America

Post Office Address: 1121-1/2 Bath Street, Santa Barbara, California 93101

Date

Name:

Andrew F. GIUSTI

Residence:

Goleta, California

Citizenship:

United States of America

Post Office Address: 7262 Calle Real, Goleta, California 93117



## **DECLARATION FOR UTILITY PATENT APPLICATION**

AS BELOW-NAMED INVENTORS, WE HEREBY DECLARE THAT:

Our residences, post office addresses, and citizenship are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHOD OF GENERATING AN IMMUNE RESPONSE AND COMPOSITIONS USED FOR SAME, the specification of which is attached hereto unless the following box is checked:

was filed on August 21, 2003 as United States Application Serial No. 10/646,948.

WE HEREBY STATE THAT WE HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

We acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

We hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing	Priority (	Claimed?
			□Yes	□No

We hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/405,603	August 21, 2002

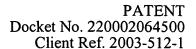
 Application Serial No.
 Filing Date
 Status

 □Patented
 □Pending
 □Abandoned

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date Name: Krisztina M. ZSEBO Residence: Santa Barbara, California Citizenship: United States of America Post Office Address: 226 Santa Cruz Boulevard, Santa Barbara, California 93109 Date Name: Roymarie BALLESTER Residence: Santa Barbara, California Citizenship: United States of America Post Office Address: 220 E. Alamar Avenue, Santa Barbara, California 93105 Name: Gary SCHOOLNIK Date Residence: Palo Alto, California Citizenship: United States of America Post Office Address: 2530 Greer Road, Palo Alto, California 94303 Steven M. JULIO Name: Date Residence: Santa Barbara, California Citizenship: United States of America Post Office Address: 1121-1/2 Bath Street, Santa Barbara, California 93101 5212 Calle Cristobal Sark Barban, CA 93111 Andrew F. GIUSTI Name: Date Residence: Goleta, California Citizenship: United States of America

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Krisztina M. ZSEBO Date Name: Residence: Santa Barbara, California Citizenship: United States of America Post Office Address: 226 Santa Cruz Boulevard, Santa Barbara, California 93109 Date Name: Roymarie BALLESTER Residence: Santa Barbara, California Citizenship: United States of America Post Office Address: 220 E. Alamar Avenue, Santa Barbara, California 93105 Name: Gary SCHOOLNIK Date Residence: Palo Alto, California Citizenship: United States of America Post Office Address: 2530 Greer Road, Palo Alto, California 94303 Steven M. JULIO Name: Date Residence: Santa Barbara, California Citizenship: United States of America Post Office Address: 1121-1/2 Bath Street, Santa Barbara, California 93101

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193117 Ab 6-28-04 San Dieyo, CA 92121 SESE Arbor Grove Court